



## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Application No. 09/960,125  
Filing Date September 21, 2001  
First Named Inventor Jian Li  
Group Art Unit 2841  
Examiner Name Rao, Shrinivas H.  
Attorney Docket Number 42390P11557X

Total Number of Pages in This Submission 26

### ENCLOSURES (check all that apply)

- ☒ Fee Transmittal Form  
☐ Fee Attached  
☐ Amendment / Response  
☐ After Final  
☐ Affidavits/declaration(s)  
☐ Extension of Time Request  
☐ Express Abandonment Request  
☒ Information Disclosure Statement  
☒ PTO/SB/08  
☐ Certified Copy of Priority Document(s)  
☐ Response to Missing Parts/Incomplete Application  
☐ Basic Filing Fee  
☐ Declaration/POA  
☐ Response to Missing Parts under 37 CFR 1.52 or 1.53

- ☐ Drawing(s)  
☐ Licensing-related Papers  
☐ Petition  
☐ Petition to Convert a Provisional Application  
☐ Power of Attorney, Revocation Change of Correspondence Address  
☐ Terminal Disclaimer  
☐ Request for Refund  
☐ CD, Number of CD(s)

- ☐ After Allowance Communication to Group  
☐ Appeal Communication to Board of Appeals and Interferences  
☐ Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  
☐ Proprietary Information  
☐ Status Letter  
☒ Other Enclosure(s) (please identify below):

- copy of 18 art references  
- return receipt postcard

Remarks

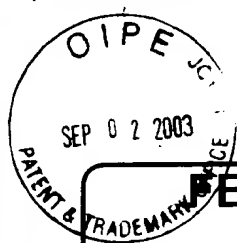
### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name Gregory D. Caldwell, Reg. No. 39,926  
BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP  
Signature   
Date August 29, 2003

### CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Typed or printed name Irma Urbas  
Signature Date August 29, 2003



# FEE TRANSMITTAL for FY 2003

Effective 01/01/2003 Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$)

Complete if Known

Application Number 09/960,125  
Filing Date September 21, 2001  
First Named Inventor Jian Li  
Examiner Name Rao, Shrinivas H.  
Group/Art Unit 2841  
Attorney Docket No. 42390P11557X

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☒ None  
☐ Deposit Account

Deposit Account Number

02-2666

Deposit Account Name

Blakely, Sokoloff, Taylor & Zafman LLP

The Commissioner is authorized to check all that apply

☐ Charge fee(s) indicated below ☐ Credit any overpayments  
☒ Charge any additional fee(s) required under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20  
☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account

## FEE CALCULATION

### 1. BASIC FILING FEE

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	750	1001	375	Utility filing fee	
1002	330	1002	165	Design filing fee	
1003	520	1003	260	Plant filing fee	
1004	750	1004	375	Reissue filing fee	
1005	160	1005	80	Provisional filing fee	
SUBTOTAL (1)				(\$)	

### 2. EXTRA CLAIM FEES

Total Claims  = 20 =  Extra Claims Fee from below Fee Paid  
Independent Claims  = 3 =   
Multiple Dependent

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	1202	9	Claims in excess of 20	
1201	84	1201	42	Independent claims in excess of 3	
1203	280	1203	140	Multiple Dependent claim, if not paid	
1204	84	1204	42	**Reissue independent claims over original patent	
1205	18	1205	9	**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)				(\$)	

\*or number previously paid, if greater. For Reissues, see below

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	<div>1000-</div>

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Name (Print/Type)	Gregory D. Caldwell	Registration No. (Attorney/Agent)	39,926	Telephone	(503) 684-6200
Signature		Date	08/29/03		

Based on PTO/SB/17 (08-03) as modified by Blakely, Sokoloff, Taylor & Zafman (wlr) 08/11/2003.  
SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

JIAN LI, ET AL.

Application No.: 09/960,125

Filed: September 21, 2001

For: **STACKED FERROELECTRIC  
MEMORY DEVICE AND METHOD OF  
MAKING SAME**

Art Group: 2841

Examiner: Rao, Shrinivas H.

TO EXAMINER  
FROM APPLICANT

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a final Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Some or all of the references listed on the enclosed PTO/SB/08 were previously identified in the parent application (Application No. 09/909,670, filed July 20, 2001) and copies of the references were furnished at that time. Accordingly, per 37 CFR §1.98(d)(1) additional copies of those references are not submitted herewith.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Date: August 29, 2003

  
Gregory D. Caldwell, Reg. No. 39,926

12400 Wilshire Blvd., 7th Floor  
Los Angeles, California 90025  
(503) 684-6200

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**Irena Urbas**

08-29-03

**Date**



Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

1 of 1

**Complete if Known**

Application Number	09/960,125
Filing Date	September 21, 2001
First Named Inventor	Jian Li
Art Unit	2841
Examiner Name	Rao, Shrinivas H.
Attorney Docket Number	42390P11557X

**U.S. PATENT DOCUMENTS**

Examiner Initials*	Cite No.	Document Number Number - Kind Code <sup>2</sup> (if known)	Publication Date or Issue Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	1	US-6,314,641 B1	11-13-2001	Akram	
	2	US-5,939,775	08-17-1999	Bucci et al.	
	3	US-5,843,808	12-01-1998	Karnazos	
	4	US-6,324,069 B1	11-27-2001	Weber	
	5	US-4,593,456	06-10-1986	Cheung	
	6	US-4,995,705	02-26-1991	Yoshinaga et al.	
	7	US-6,141,309	10-31-2000	Saitou et al.	
	8	US-6,072,718	06-06-2000	Abraham et al.	
	9	US-5,927,206	07-27-1999	Bacon et al.	
	10	US-6,269,018	07-31-2001	Monsma et al.	
	11	US-3,623,038	11-23-1971	Franklin et al.	
	12	US-5,592,643	07-07-1997	Thomas	
	13	US-6,210,979	04-03-2001	Kweon et al.	
	14	US-6,337,032	01-08-2002	Chivukula et al.	
	15	US-6,420,190	07-16-2002	Shimoda et al.	
	16	US-2002-0093845 A1	07-18-2002	Matsuoka et al.	
	17	US-2002-0024835 A1	02-28-2002	Thomson et al.	
	18	US-2002-0000005 A1	01-03-2002	Jermier	
	19	US-2002-0044480 A1	04-18-2002	Gudesen et al.	
		US-			

**FOREIGN PATENT DOCUMENTS**

Examiner Initials*	Cite No.	Foreign Patent Document Country Code <sup>2</sup> - Number <sup>2</sup> - Kind Code <sup>2</sup> (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>3</sup>
	20	JP 363 293 729 A	11-30-1988	Yamaguchi et al.		

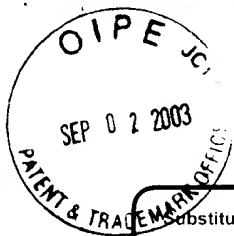
Examiner  
SignatureDate  
Considered

\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

Applicant's unique citation designation number (optional). <sup>1</sup>See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>2</sup>Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>3</sup>For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. <sup>4</sup>Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>5</sup>Applicant is to place a check mark here if English language Translation is attached.

Based on PTO/SB/08A (08-03) as modified by Blakely, Solokoff, Taylor &amp; Zafman (wlr) 08/11/2003.

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Substitute for form 1449A/PTO		<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>		Application Number	09/960,125
		Filing Date	September 21, 2001
Sheet 2 of 2		First Named Inventor	Jian Li
		Art Unit	2841
		Examiner Name	Rao, Shrinivas H.
		Attorney Docket Number	42390P11557X

OTHER ART - NON PATENT LITERATURE DOCUMENTS		
Examiner Initials*	Cite No.	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
	21	IBM Technical Disclosure Bulletin, Vol. 37 (11), page 421-424, 1994

Examiner Signature	Date Considered
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\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

Applicant's unique citation designation number. Applicant is to place a check mark here if English language Translation is attached.

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